



Docket No. P 63552 US2

JUL 01 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE Application of: Harris et al.
Serial No.: 10/669,400 Art Unit: 1624
Filing Date: 9/23/03 Examiner: S. Patel
For: SUBSTITUTED AZA-OXINDOLE DERIVATIVES

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicants request that the references identified on Form PTO-1449 appended hereto be considered by the Examiner and officially made of record in accordance with the provisions of 37 CFR 1.97

- ☐ Copies of the references are enclosed
☒ Copies of the references were submitted in parent application Serial No. 09/914,393. (37 CFR 1.98(d))
☐ A copy of the International Search Report which issued on International Application No. _____ is submitted herewith. All of the publications cited in the International Search Report are listed on the attached form PTO-1449 and Applicants understand that copies have been supplied to the U.S. Patent Office by the International Bureau.
- A. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing date of the above application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 CFR 1.97(b).
- OR
- ☐ The Information Disclosure Statement submitted herewith is being filed before the mailing of a first office action after the filing of a Request For Continued Examination under 37 C.F.R. 1.114 (37 C.F.R. 1.97(b)(4)).
- B. ☐ The Information Disclosure Statement transmitted herewith is being filed after three months of the filing date of the above application or the date of entry into the national stage as set forth in § 1.491 of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last, but before the mailing date of either:
- (1) a final action under § 1.113 or
 - (2) a notice of allowance under § 1.311,
- whichever occurs first.

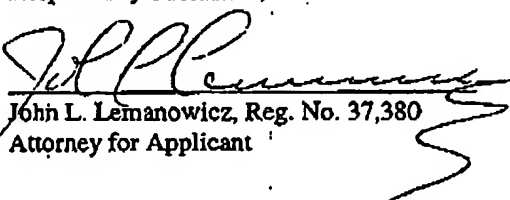
Atty. Docket No.

- ☐ Applicant hereby certifies that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ Applicant elects the option to pay the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under § 1.97(c) (\$180.00).
- C. ☒ The Information Disclosure Statement transmitted herewith is being filed after a final action under § 1.113, or a notice of allowance under § 1.311, whichever occurs first, but before the payment of the issue fee. Also enclosed is a copy of the International Search Report which Issued on International Publication No.

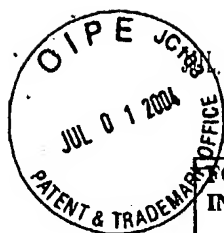
In accordance with the requirements of 37 CFR 1.97(d):

- ☐ Applicant hereby certifies that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. [or]
- ☐ Applicant hereby certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of this statement; and
- ☒ The petition fee set forth in § 1.17(i)(1) (\$180.00) is submitted herewith.
- ☒ Please charge any required fees to Deposit Account No.07-1392.
- ☒ A duplicate copy of this paper is attached.

Respectfully Submitted,


John L. Lemanowicz, Reg. No. 37,380
Attorney for Applicant

Date: 30 June 2004
GlaxoSmithKline
Corporate Intellectual Property
5 Moore Drive, P.O. Box 13398
Research Triangle Park, NC 27709-3398
Telephone: (919) 483-8247
Facsimile: (919) 483-7988



1. 2004 8:10AM GLAXO WELLCOME

NO. 4208 P. 8

Page 1 of 3

FORM PTO-1449
INFORMATION DISCLOSURE STATEMENT

ATTORNEY DOCKET

NO.

PU3552US2

SERIAL NO.

10/669,400

APPLICANT

Harris et al.

FILING DATE

9/23/03

GROUP

1624

U.S. PATENT DOCUMENTS

Examiner Initials		Patent Number	Issue Date	Name	Class	Subclass	Filing Date if Appropriate
8/26	AA	5,089,516	2/18/92	Shiraishi et al.			
	AB	5,057,538	10/15/91	Shiraishi et al.			
	AC	5,202,341	4/13/93	Shiraishi et al.			
	AD	5,051,417	9/24/91	Nadler et al.			
	AE	5,449,755	9/12/95	Roberts et al.			
	AF	5,443,962	8/22/95	Draetta et al.			
	AG	5,770,423	6/23/98	Beach et al.			
	AH	5,756,335	5/26/98	Beach et al.			
	AI	5,672,508	9/30/97	Gyruis et al.			
	AJ	5,441,880	8/15/95	Beach et al.			

Continue on page 2

FOREIGN PATENT DOCUMENTS

		Document Number	Publication Date	Country	Class	Subclass	Translation Yes No
8/26	BA	99/15500	4/1/99	PCT			
	BB	198 15 020	10/7/99	DE			
	BC	97/25986	1/16/97	PCT			
	BD	94/23029	10/13/94	PCT			
	BE	93/24514	12/9/93	PCT			
	BF	94/28914	12/22/94	PCT			
	BG	93/10242	5/27/93	PCT			
	BH	98/07835	2/26/98	PCT			
	BI	95/01349	1/12/95	PCT			
	BJ	0503349 A1	9/16/92	EP			

Continue on page 2

OTHER DOCUMENTS (Including Author, Title, Journal-Date, Page Number, Etc.)

8/26	CA	H. J. Kallmayer, "Substituierte Isatin-phenylimine," Arch. Pharm. (Weinheim, Ger.), Vol. 308, 1975, pp. 742-748.
8/26	CB	Mohammed Kamel, et al., "Monoazo Metal Complex Forming Dyes Part V Dyes Derived from Isatin," J. Chem. U.A.R. 9, No. 2, 1966, pp. 139-144.
8/26	CC	Vishnu J. Ram, et al., "Pesticidal Mannich Bases Derived from Isatinimines," J. Heterocycle Chem., Vol. 23, Sept-Oct 1986, pp. 1367-1369.
8/26	CD	Xiaoyun Wu, et al., "Chemical Constituents of Isatis Indigotica," Planta Medica, 1997, pp. 55-57.
8/26	CE	Hoessel et al., "Indirubin, the Active Constituent of a Chinese Antileukaemia Medicine, Inhibits Cyclin-Dependent Kinases," Nat. Cell Biol., 1996, pp. 60-67.
8/26	CF	H.J. Kallmayer, "Substituierte Isatin-phenylimine," Arch. Pharm., Vol. 308, 1975, pp. 742-748.

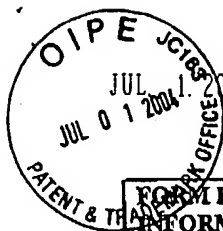
Continue on page 2

EXAMINER

DATE CONSIDERED

8/10/04

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.



JUL 01 2004 8:10AM

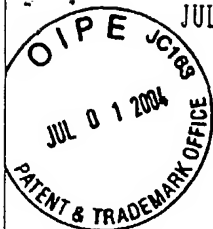
GLAXO WELLCOME

NO. 4208 P. 9

Page 2 of 3

FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT					ATTORNEY DOCKET NO. PU3552US2		SERIAL NO. 10/669,400	
					APPLICANT Harris et al.			
					FILING DATE 9/23/03		GROUP 1624	
U.S. PATENT DOCUMENTS								
Examiner Initials		Patent Number	Issue Date	Name	Class	Subclass	Filing Date If Appropriate	
SJS	AK	5,124,342	6/23/92	Kerdesky et al.				
	AL	5,374,652	12/20/94	Buzzetti et al.				
	AM	5,488,057	1/30/96	Buzzetti et al.				
	AN	5,627,207	5/6/97	Buzzetti et al.				
	AO	6,043,254	3/28/00	Grell et al.				
Continue on page _____								
FOREIGN PATENT DOCUMENTS								
		Document Number	Publication Date	Country	Class	Subclass	Translation Yes No	
SJS	BK	0788890 A1	8/13/97	EP				
	BL	0503349 B1	1/4/95	EP				
	BM	96/32380	10/17/96	PCT				
	BN	0436333 A2	7/10/91	EP				
	BO	93/01182	1/21/93	PCT				
	BP	97/36867	10/9/97	PCT				
	BQ	94/40116	12/19/96	PCT				
	BR	98/07695	2/26/98	PCT				
	BS	96/16964	6/6/96	PCT				
	BT	96/00226	1/4/96	PCT				
	BU	96/22976	8/1/96	PCT				
	BV	99/62882	12/9/99	PCT				
	BW	99/62503	12/9/99	PCT				
	BX	99/52869	10/21/99	PCT				
	BY	19844003 A1	3/30/00	EP				
	BZ	98/05335	2/12/98	PCT				
	B1	98/50356	11/12/98	PCT				
Continue on page <u>3</u>								
OTHER DOCUMENTS (Including Author, Title, Journal-Date, Page Number, Etc.)								
SJS	CG	E.M. Mandelkow et al., FEBS Lett., Vol. 314, 1992, p. 315.						
	CH	A. Sengupta et al., Mol. Cell. Biochem., Vol. 167, 1997, p. 99						
	CI	K. Yashpal, J. Neurosci., Vol. 15, 1995, pp. 3263-72.						
	CJ	Badger, J. Pharm. Exp. Ther., Vol. 279, 1996, p. 1453.						
	CK	Dvir et al., J. Cell Biol., Vol. 113, 1991, p. 857.						
	CL	Tanaka et al., Nature, Vol. 383, 1996, p. 528.						
	CM	Hunter and Pines, Cell, Vol. 79, 1994, p. 573.						
CN	Hajjar and Pomerantz, FASEB J., Vol. 6, 1992, p. 2933.							
Continue on page <u>3</u>								
EXAMINER <u>SJS</u>					DATE CONSIDERED <u>8/1/03</u>			
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.								

FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT				ATTORNEY DOCKET NO. PU3552US2		SERIAL NO. 10/669,400	
				APPLICANT Harris et al.			
				FILING DATE 9/23/03		GROUP 1624	
U.S. PATENT DOCUMENTS							
Examiner Initials		Patent Number	Issue Date	Name	Class	Subclass	Filing Date If Appropriate
Continue on page _____							
FOREIGN PATENT DOCUMENTS							
		Document Number	Publication Date	Country	Class	Subclass	Translation Yes / No
<i>82</i>	B2	198 16 624	10/21/99	Germany			
Continue on page _____							
OTHER DOCUMENTS (Including Author, Title, Journal-Date, Page Number, Etc.)							
<i>82</i>	CO	Salari, FEBS, Vol. 263, 1990, p. 104.					
	CP	A.C. Borthwick et al., Biochem. Biophys. Res. Commun., Vol. 210, 1995, p. 738.					
	CQ	Strawn et al., Cancer Res., Vol. 56, 1996, p. 3540.					
	CR	Jackson et al., J. Pharm. Exp. Ther., Vol. 284, 1998, p. 687.					
	CS	Buchdunger et al., Proc. Nat. Acad. Sci. USA, Vol. 952, 1991, p. 2258.					
	CT	Bolen and Brugge, Ann. Rev. Immunol., Vol. 15, 1997, p. 371.					
<i>82</i>	CU	E. Littler, Nature, Vol. 358, 1992, p. 160.					
	CV	Schlesinger and Ullrich, Neuron, 1992, Vol. 9, p. 383					
Continue on page _____							
EXAMINER <i>franklin B. [signature]</i>					DATE CONSIDERED <i>8/10/03</i>		
EXAMINER: Initial if citation considered, whether or not-citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.							



JUL 1 2004 8:11AM

GLAXO WELLCOME

NO. 4208 P. 11

PTO/SB/97 (09-03)
Approved for use through 07/31/2003. CMB 0851-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Certificate of Transmission under 37 CFR 1.8

I hereby certify that this correspondence is being facsimile transmitted to the
United States Patent and Trademark Office

on 7/1/04
Date

Allyson K. Jacobs
Signature

Allyson K. Jacobs
Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of transmission, or this certificate must identify each submitted paper.

This collection of information is required by 37 CFR 1.8. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.8 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending on the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2